

John F Morar  
10/09/2000 05:02 PM

To: David Shofi *Redacted*  
cc:  
From: John F Morar/ *Redacted*  
Subject: \*IBM Confidential: Disclosure YOR8-2000-0738 "Method and Apparatus for Independent Filtering of E-Commerce Transactions"

David,

Here is the explanatory write-up for YOR8-2000-0738 "Method and Apparatus for Independent Filtering of E-Commerce Transactions". It was created in Word 2000 so I'm also mailing you hard-copy since I assume printing might cause you undue grief. I'm putting the hardcopy in internal mail to you tonight. This document has a technical description followed by potential business processes.



V91 Filtering e-commerce transacti

--John

Exhibit D



Thomas J. Watson Research Center  
P.O. Box 218  
Yorktown Heights, NY 10598

October 31, 2000

**VIA OVERNIGHT MAIL**

**RECEIVED**

**NOV 01 2000**

Harry F. Smith, Esq.  
Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
One Landmark Square, 9th Floor  
Stamford, Connecticut 06901-2682

OHLANDT, GREELEY,  
RUGGIERO & PERLE

Subject: Preparation of Patent Application: YOR920000719US1  
Yorktown Disclosure Number: YOR8-2000-0738

009 @ 40

Title: "METHOD AND APPARATUS FOR INDEPENDENT FILTERING OF  
E-COMMERCE TRANSACTIONS" *Attorneys handwritten notes redacted*

Inventor: Morar, John F.  
Chess, David M.  
Kershenbaum, Aaron  
Pring, Edward  
Whalley, Ian N.  
White, Steve R.

**INVENTOR  
INFORMATION  
REDACTED**

Dear Harry,

Enclosed are materials relative to the preparation and prosecution of the subject patent application including an original disclosure, an embodiment, and a diskette with a soft copy of the embodiment in Microsoft Word format. The patent application is to be filed in the USPTO by January 30, 2001. *Redacted*

*Redacted* The work is to be done in accordance with the IBM Outside Counsel Instructions.

The formal papers are to be prepared and filed by your office, listing the names of the Yorktown attorneys on the Declaration and Power of Attorney as follows:

**POWER OF ATTORNEY:** As a named inventor I hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith as follows:

Manny W. Schechter (Reg. 31,722), Lauren C. Bruzzone (Reg. 35,082), Christopher A. Hughes (Reg. 26,914), Edward A. Pennington (Reg. 32,588), John E. Hoel (Reg. 26,279), Joseph C. Redmond, Jr. (Reg. 18,753), Douglas W. Cameron (Reg. 31,596), Stephen C. Kaufman (Reg. 29,551), Marian Underweiser (Reg. 46,134), Wayne L. Ellenbogen (Reg. 43,602), Robert M. Trepp (Reg. 25,933), Louis P. Herzberg (Reg. 41,500), Louis J. Percello (Reg. 33,206), Paul J. Otterstedt (Reg. 37,411), Daniel P. Morris (Reg. 32,053), and David M. Shofi (Reg. 39,835).

Send correspondence to: outside counsel attorney

**Exhibit E**

Subject: Re: Draft Patent Application

Date: Sun, 21 Jan 2001 16:01:35 -0500

From: "John F Morar" ~~redacted~~

To: Harry Smith ~~redacted~~

thanks Harry,

I received the document. We'll get back to you with our comments shortly.

--John

Harry Smith <hsmithogrp@earthlink.net> on 01/20/2001 06:35:15 PM

To: John F Morar/Watson/IBM@IBMUS

cc:

Subject: Draft Patent Application

John-

Attached is the draft of the e-commerce filter application. Please review with your coinventors and get back to me with your comments and corrections. Make sure the independent claims are not drafted too broadly based on the prior art that you may be aware of. I will also need a copy of any relevant prior art. When you return the draft also provide further details on the administrative tool 20 (is this a commercially available product?), as well as names of suitable e-commerce programs that may be found in a typical system. Feel free to contact me should there be any questions or comments.

Best regards,

Harry

Exhibit F

OHLANDT, GREELEY, RUGGIERO & PERLE, L.L.P.

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VIA FEDERAL EXPRESS  
January 31, 2001

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Kristina M. Grasso (Agent)

Mr. John F. Morar  
IBM Corporation  
Thomas J. Watson Research Center  
Office 2S-A12  
30 Saw Mill River Road  
Hawthorne, NY 10532


Re: Your Ref. No. YOR920000719US1  
My Ref. No. 909.0040 USU  
"SYSTEM AND APPARATUS FOR INDEPENDENT FILTERING OF E-COMMERCE TRANSACTIONS"

Dear John:

Enclosed is a second draft of the patent application for this invention disclosure. Please review the draft with your co-inventors and get back to me with any further comments. I have highlighted some of the larger insertions. Please feel free to give me a call should you wish to discuss the description or the claims. I will also need the residence address and citizenship for each inventor.

Sincerely,

OHLANDT, GREELEY, RUGGIERO & PERLE, L.L.P.



Harry F. Smith

encl.

cc: Gail Zarick, Esq. (w/encl)

Exhibit G

OHLANDT, GREELEY, RUGGIERO & PERLE, L.L.P.

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Mr. John F. Morar  
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30 Saw Mill River Road  
Hawthorne, NY 10532

Re: Your Ref. No. YOR920000719US1  
My Ref. No. 909.0040 USU  
"SYSTEM AND APPARATUS FOR INDEPENDENT FILTERING OF E-COMMERCE TRANSACTIONS"

Dear John:

Enclosed is a finalized patent application that is ready for your review. The application incorporates the revisions to the second draft application. Please carefully review this application with your co-inventors to insure that it accurately describes your invention, and to verify that the claims are not drafted so broadly as to read on any conventional systems of which you may be aware. If you are satisfied with the application, then also review and execute the enclosed Declaration and the Assignment of all rights to IBM. The Taiwan Oath and Assignment should also be reviewed and executed. Return the executed papers to me for filing in the U.S. Patent Office. If any changes are made to the application, each inventor must initial and date each change in the margin. Let me know if a major change is required, and I will send you replacement pages(s). If an inventor makes a change to the formal papers, such as correcting an address, then only that inventor need initial and date the change.

We have a continuing duty of disclosure to bring to the Examiner's attention any prior art that may be deemed material or pertinent to the claimed invention. Send me a copy of any prior art of which you may be aware of now, or of which you may become aware after the application is filed. Feel free to contact me with any questions.

Sincerely,

OHLANDT, GREELEY, RUGGIERO & PERLE, L.L.P.



Harry F. Smith  
encl.  
cc: Gail Zarick, Esq.

Exhibit H